

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

6517-11-BHJ

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

Not Assigned 10/031897

INTERNATIONAL APPLICATION NO.

PCT/EP00/06843

INTERNATIONAL FILING DATE

July 18, 2000

PRIORITY DATE CLAIMED

July 22, 1999

TITLE OF INVENTION

PULLULAN FILM COMPOSITIONS

APPLICANT(S) FOR DO/EO/US

SCOTT, Robert; CADE, Dominique; HE, Xiongwei

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☒ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

Postal Card Receipt.

PCT Demand

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.101) Not assigned 10/031897		INTERNATIONAL APPLICATION NO. PCT/EP00/06843		ATTORNEY'S DOCKET NUMBER 6517-11-BHJ	
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24. The following fees are submitted:.				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1040.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00					
ENTER APPROPRIATE BASIC FEE AMOUNT =					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	1 - 20 =	0	x \$18.00	\$0.00	
Independent claims	1 - 3 =	0	x \$78.00	\$0.00	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$1,020.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$0.00	
SUBTOTAL =				\$1,020.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00	
TOTAL NATIONAL FEE =				\$1,020.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				\$40.00	
TOTAL FEES ENCLOSED =				\$1,060.00	
				Amount to be refunded	\$
				charged	\$

a. ☐ A check in the amount of _____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. **23-0455** in the amount of **\$1,060.00** to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **23-0455**. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

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 REGISTRATION NUMBER

1/22/02
 DATE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Robert Scott et al.

Serial No.: Not Assigned

Art Unit : Not Assigned

Filed : January 22, 2002

Examiner : Not Assigned

For : PULLULAN FILM COMPOSITIONS

Date : January 22, 2002

PRELIMINARY AMENDMENT

Commissioner for Patents
Washington, D.C. 20231

Sir,

This Amendment is being filed with the Application to properly cross-reference the related applications. Applicants respectfully request entry of this Amendment. Should any fee be due please charge Deposit Account Number 23-0455.

Please amend the Specification as follows:

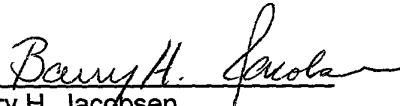
IN THE CLAIMS

Please cancel claims 2 through 41.

Should the Examiner have any questions or comments concerning the above, the Examiner is respectfully invited to contact the undersigned attorney at the number listed below.

Respectfully submitted,

Dated: January 22, 2002


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amendment 01 22 02

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Pullulan Film Compositions

5 The invention concerns pullulan compositions for the use in pharmaceutical, veterinary, food, cosmetic or other products like films for wrapping food, aspics or jellies, preferably for predosed formulations like soft or hard capsules.

10
15
20 Conventional hard capsules are made with gelatine by dip moulding process. The dip molding process is based on the setting ability of hot gelatine solutions by cooling. For the industrial manufacture of pharmaceutical capsules gelatine is most preferred for its gelling, film forming and surface active properties. The manufacture of hard gelatine capsules by dip moulding process exploits fully its gelling and film forming abilities. A typical dip moulding process comprises the steps of dipping mould pins into a hot solution of gelatine, removing the pins from the gelatine solution, allowing the gelatine solution attached on pins to set by cooling, drying and stripping the so-formed shells from the pins. The setting of the solution on the mould pins after dipping is the critical step to obtain a uniform thickness of the capsule shell.

25 On a totally automatic industrial hard gelatine capsule machine, the process consists to dip mould pins into hot gelatine solution, to remove the pins from the solution, to turn the pins from downside to upside, to dry the gelatine solution (gel) attached on the pins, to strip the capsule shell and finally to cut and pre-joint the cap and body.
30 The immediate setting of the gelatine solution on the dip pins after dipping is the key step in the process. Otherwise, the gelatine solution would flow down, leading

to a very low top thickness, and no capsule of quality could be produced.

Attempts have been made to manufacture capsules with materials other than gelatine, notably with modified cellulose. Successful industrial examples are the capsules made of hydroxypropyl methylcellulose (HPMC).

Pullulan is a natural, viscous polysaccharide extracellularly produced by growing certain yeasts on starch syrups. It has good film forming properties and a particularly low oxygen permeability. Its existence was reported for the first time in 1938. Hayashibara Company started the commercial production in 1976.

There are numerous patents about the use of pullulan in moulded articles, edible films, and coatings.

US 4,623,394 describes a molded article which exhibits a controlled desintegrability under hydrous conditions. The composition of the molded article consists essentially of a combination of pullulan and a heteromannan, the amount of heteromannan being, based on the dry solids, 1 to 100% of the pullulan.

JP5-65222-A describes a soft capsule, capable of stabilizing a readily oxidizable substance enclosed therein, exhibiting easy solubility, and being able to withstand a punching production method. The soft capsule is obtained by blending a capsule film substrate such as gelatin, agar, or carrageenan with pullulan.

US-3,784,390-A, corresponding to FR 2,147,112 and GB 1,374,199, discloses that certain mixtures of pullulan with at least one member of the group consisting of amylose, polyvinyl alcohol, and gelatine can be shaped by

compression molding or extrusion at elevated temperatures or by evaporation of water from its aqueous solutions to form shaped bodies, such as films or coatings. To retain the valuable properties of pullulan to an important extent the mixture should not contain more than 120 percent amylose, 100 percent polyvinyl alcohol, and/or 150 percent gelantine based on the weight of the pullulan in the mixture.

US 4,562,020, discloses a continuous process for producing a self-supporting glucan film, comprising casting an aqueous glucan solution on the surface of a corona-treated endless heat-resistant plastic belt, drying the glucan solution thereon while heating and releasing the resultant self-supporting glucan film. Suitable glucans are those which substantially consist of repeating maltotriose units, such as pullulan or elsinan.

JP-60084215-A2 discloses a film coating composition for a solid pharmaceutical having improved adhesive properties on the solid agent. The film is obtained by incorporating pullulan with a film coating base material such as methylcellulose.

JP-2000205-A2 discloses a perfume-containing coating for a soft capsule. The coating is obtained by adding a polyhydric alcohol to a pullulan solution containing an oily perfume and a surfactant such as a sugar ester having a high HLB.

US 2,949,397 describes a method of making a mineral filled paper which comprises the step of coating finely divided mineral filler particles with an aqueous colloidal dispersion of plant mucilage in the form of substituted mannan selected from the group consisting of manno-glactans and gluco-glactans.

US 3,871,892 describes the preparation of pullulan esters by the reaction of pullulan with aliphatic or aromatic fatty acids or their derivatives in the presence of suitable solvents and/or catalysers. The pullulan esters can be shaped by compression molding or extrusion at elevated temperatures or by evaporation of solvents from their solutions to form shaped bodies such as films or coatings.

US 3,873,333 discloses adhesives or pastes prepared by dissolving or dispersing uniformly a pullulan ester and/or ether in water or in a mixture of water and acetone in an amount between 5 percent to 40 percent of the solvent.

US 3,932,192 describes a paper coating material containing pullulan and a pigment.

US 4,257,816 discloses a novel blend of algin, TKP, and guar gum which are useful in commercial gum applications, particularly for the paper-industry, where thickening, suspending, emulsifying, stabilizing, film-forming and gel-forming are needed.

US 3,997,703 discloses a multilayered molded plastic having at least one layer comprising pullulan and at least one layer selected from the group consisting of layers composed of homopolymers and copolymers of olefins and/or vinyl compounds, polyesters, polyamides, celluloses, polyvinylalcohol, rubber hydrochlorides, paper, and aluminum foil.

GB 1,533,301 describes a method of improving the water-resistance of pullulan by the addition of a water-soluble dialdehyde polysaccharides to pullulan.

GB 1559 644 also describes a method of improving the water-resistance of pullulan articles. The improved articles are manufactured by means of a process comprising bringing a mixture or shaped composition of a (a) pullulan or a water soluble derivative thereof and (b) polyuronide or a water-soluble salt thereof in contact with an aqueous and/or alcoholic solution of a di- or polyvalent metallic ion.

Although capsules were mentioned or claimed in these patents, their compositions do not have sufficient setting ability or none at all. Consequently, these compositions do not allow an industrial scale hard capsule production, and no attempt has been described to produce pullulan hard capsules by means of conventional dipping moulding processes.

Another problem with conventional pullulan hard capsules is their poor surface gliding performance, which leads to a high opening force of the pre-joint capsules and a high closing force. Indeed, these are two key parameters for a good filling performance on automatic high speed capsule filling equipment. During the filling process, the filling equipment opens, fills and recloses the capsules in an extremely high cadence. High opening or closing force can lead to defects such as non open, punched capsule ends and etc, and consequently to frequent machine stops.

The object of the present invention is therefore the provision of improved pullulan compositions which overcome the drawbacks of the prior art compositions. This object is solved according to the film forming composition, the container for unit dosage, the caplets, the capsules, the aqueous solutions, the use of the aqueous solutions for the manufacturing of hard capsules in a dip molding process, and the manufacturing of hard capsules from aqueous pullulan solutions according to the independent claims.

Further advantageous features, aspects and details of the invention are evident from the dependent claims, the description and the drawings. The claims are to be understood as a first non-limiting approach to define the invention in general terms.

The invention provides a film-forming composition comprising pullulan and a setting system.

Surprisingly, we found that the addition of a very small amount of a setting system, preferably comprising hydrocolloids acting as a gelling agent, most preferably polysaccharides, confers an appropriate setting ability with cooling to pullulan solution so that the production of hard pullulan capsules can be produced with a conventional dip moulding process.

In a preferred embodiment, the film forming composition may preferably further contain a cation containing salt, comprising at least one cation. Optionally, the film forming composition may further comprise at least one sequestering agent.

In an aspect of the present invention the film compositions are used for the manufacturing of hard capsules by conventional dip moulding process as normally used in the production of conventional hard gelatine capsules.

In an additional aspect of the present invention there are provided aqueous solutions comprising the film forming compositions of the present invention for the manufacture of capsules. The setting system gets the solution to set on the dipped pins, thus assuring a uniform capsule shell thickness. The setting system is preferably composed of a gelling agent, such as said hydrocolloids or

polysaccharides, and optionally salt and sequestering agent.

The cation containing salt in the composition serves to enhance the setting ability of the gelling agents. Preferably, the salt comprises cations such as K^+ , Li^+ , Na^+ , NH_4^+ , Ca^{2+} , or Mg^{2+} , etc. The amount of cations is preferably less than 3%, especially 0.01 to 1% by weight in the aqueous pullulan solution. The preferred salt concentration in the solution is less than 2%.

In a further aspect of the present invention there are provided compositions for the use in pharmaceutical, veterinary, food, cosmetic or other products like films for wrapping food, aspics or jellies, preferably for predosed formulations like soft or hard capsules and wherein the pullulan compositions has in aqueous solution a sufficient setting ability.

In a particular aspect of the present invention there are provided containers for unit dosage forms for agrochemicals, seeds, herbs, foodstuffs, dyestuffs, pharmaceuticals, or flavoring agents produced from the film forming compositions of the present invention. Preferably, such containers are capsules, especially pharmaceutical capsules. The capsule halves of the capsules are preferably sealed with one or more layers of the film forming compositions of the present invention. The capsule halves are preferably sealed by means of a liquid fusion process. The capsules of the present invention may preferably release the product they are filled with at low temperatures, preferably at room temperature.

In a further aspect of the present invention there are provided caplets encapsulated in a film forming composition of the present invention.

Compared to gelatine or HPMC, the advantages of pullulan can be mentioned as follows:

- Non-animal origin
- No chemical modification, totally natural.
- 5 • Higher product quality consistency by the fermentation process control.
- High homogeneity and transparency of films
- Very low oxygen permeability. Its capsules are particularly useful for the filling of oxygen sensitive products such as fish and vegetable oils.
- 10 • Relatively low water content, lower than gelatine.
- High stability of various properties over storage such as mechanical and dissolution properties.

15 The addition of a setting system, preferably based on polysaccharides, to pullulan solutions enables the adaptation of specific and desired gelling properties for the production of hard pullulan capsules by a conventional dipping process. For the production of such capsules it is extremely important that the film forming pullulan solution
20 remaining on the mould pins after dipping is prohibited from flowing down the pins. Otherwise the obtained film will not have the desired uniform thickness.

25 Consequently the present invention enables that the hard pullulan capsules can be produced with the same equipment used for the production of conventional hard gelatine capsules in the same range of process conditions. Furthermore capsules produced from compositions of the

present invention have the same dimensional specifications and allow the use of the existing filling machinery and do not require specific and new equipment for the filling process.

5 In an preferred embodiment of the present invention, the concentration of pullulan in the dipping aqueous solution is in a range of 10 to 60%, preferably 10 to 50%, more preferably 15 to 40%, and most preferably 10 to 40% by weight.

10 Although pullulan of various molecular weight is usable, pullulan has a viscosity from 100 cps to 2000 cps at above mentioned concentration and at dipping temperature (40-70°C) is preferred.

15 The pullulan without desalting (Japanese food grade) is usable, however the desalted pullulan (Japanese pharmaceutical excipients grade) is preferable for its improved mechanical properties.

20 In preferred embodiments of the present invention the setting system comprises a hydrocolloid or mixtures of hydrocolloids.

25 Suitable hydrocolloids or mixtures thereof for the present invention, producing synergistic properties, may be selected from the group comprising natural seaweeds, natural seed gums, natural plant exudates, natural fruit extracts, biosynthetic gums, gelatines, biosynthetic processed starch or cellulosic materials, preferred are the polysaccharides.

30 In a preferred embodiment of the present invention, the polysaccharides are selected from the group comprising alginates, agar gum, guar gum, locust bean gum (carob),

carrageenan, tara gum, gum arabic, ghatti gum, Khaya grandifolia gum, tragacanth gum, karaya gum, pectin, arabian (araban), xanthan, gellan, starch, Konjac mannan, galactomannan, funoran, and other exocellular polysaccharides. Preferred are exocellular polysaccharides.

Preferred exocellular polysaccharides for use in the present invention are selected from the group comprising xanthan, acetan, gellan, welan, rhamsan, furcelleran, succinoglycan, scleroglycan, schizophyllan, tamarind gum, curdlan, and dextran.

In a further preferred embodiment of the present invention the hydrocolloids of the setting system are kappa-carrageenan or gellan gum or combinations like xanthan with locust bean gum or xanthan with konjac mannan.

Among the setting systems mentioned above, the systems of kappa-carrageenan with cations and gellan gum with cations are specifically preferred. They produce high gel strength at low concentrations and have good compatibility with pullulan.

The amount of the setting agent is preferably in the range of 0.01 to 5% by weight and especially preferred 0.03 to 1.0% in the aqueous pullulan solution of the present invention.

In a further preferred embodiment of the present invention the sequestering agents are selected from the group comprising ethylenediaminetetraacetic acid, acetic acid, boric acid, citric acid, edetic acid, gluconic acid, lactic acid, phosphoric acid, tartaric acid, or salts thereof, methaphosphates, dihydroxyethylglycine, lecithin or beta cyclodextrin and combinations thereof. Especially preferred

is ethylenediaminetetraacetic acid or salts thereof or citric acid or salts thereof.

In another preferred embodiment of the present invention, the amount of the sequestering agent is preferably less than 3%, especially 0.01 to 1% by weight of the aqueous dipping solution.

In the case that gellan is used as gelling agent, the compositions preferably contain a sequestering agent to improve the capsule solubility. The preferred sequestering agents are ethylenediaminetetraacetic acid or salts thereof and citric acid and salts thereof. The amount is preferably less than 1% in the solution compositions.

The pullulan compositions of the present invention may in a further preferred embodiment additionally comprise pharmaceutically or food acceptable colouring agents in the range of from 0% to 10% based upon the weight of the film. The colouring agents may be selected from the group comprising azo-, quinophthalone-, triphenylmethane-, xanthene- or indigoid dyes, iron oxides or hydroxides, titanium dioxide or natural dyes or mixtures thereof. Examples are patent blue V, acid brilliant green BS, red 2G, azorubine, ponceau 4R, amaranth, D+C red 33, D+C red 22, D+C red 26, D+C red 28, D+C yellow 10, yellow 2 G, FD+C yellow 5, FD+C yellow 6, FD+C red 3, FD+C red 40, FD+C blue 1, FD+C blue 2, FD+C green 3, brilliant black BN, carbon black, iron oxide black, iron oxide red, iron oxide yellow, titanium dioxide, riboflavin, carotenes, anthocyanines, turmeric, cochineal extract, chlorophyllin, canthaxanthin, caramel, or betanin.

The inventive pullulan compositions may in a further preferred embodiment additionally contain at least one

pharmaceutically or food acceptable plasticiser or flavoring agent.

In yet another preferred embodiment of the present invention the pullulan containers, such as capsules may be coated with a suitable coating agent like cellulose acetate phthalate, polyvinyl acetate phthalate, methacrylic acid gelatines, hypromellose phthalate, hydroxypropylmethyl cellulose phthalate, hydroxyalkyl methyl cellulose phthalates, hydroxypropyl methylcellulose acetate succinate or mixtures thereof to provide e.g. enteric properties.

In a preferred embodiment of the present invention, the film-forming compositions further comprise one or more surfactants.

The surfactant in the compositions improves the capsule surface properties in such a way that the capsule works well on the conventional automatic high speed capsule filling equipment.

We have surprisingly found that the addition of a small quantity of selected surfactants of pharmaceutical or food quality, we can improve dramatically the pullulan film surface gliding performance, consequently to get the capsule opening and closing forces to the range required by filling equipment.

Therefore, the present invention provides compositions for hard pullulan capsules with improved surface properties containing pullulan, setting system and surfactant and the aqueous solutions of said film forming compositions for the manufacturing of the capsules.

With these preferably aqueous solutions, we can produce hard pullulan capsules with good filling performance by

conventional dip mould process just like hard gelatine capsules.

A further perceived disadvantage of unmodified pullulan capsule film is its adhesive nature or tackiness when touched by hand. The rapid remoisturing properties of pullulan results in a perceived tackiness when holding the capsule film in the hand for 30 seconds or more.

An additional disadvantage is evident on swallowing the capsule film as the film may adhere to the tongue, palet (upper mouth), throat or oesophagus and compare unfavorably with traditional gelatin film capsules.

Patient compliance is a major advantage of the traditional hard gelatin capsule and supported by several market studies whcih cite "ease of swallow" as an important factor in patient preference for the capsule oral dosage form.

In order to solve this perceived disadvantage of pullulan capsule film, surprisingly it has been found that a surfactant content in the pullulan capsule film provides an acceptable temporary water-repellant surface for handling or swallowing the capsule. Additionally, the selected surfactant may be applied externally as a transparent coating in the range 0.5 to 100 microns. The selected surfactants are water soluble at 37C.

The pullulan in the compositions is the base material for hard capsule making. Its preferred concentration in the aqueous solutions comprising the surfactant is from 10 to 40%.

The preferred gelling agents for the use with the surfactant are kappa-carrageenan and gellan with a concentration in the solutions 0.05-3%.

5 The surfactant in the compositions is aimed to improve the capsule surface gliding performance, and so the capsule filling performance on filling equipment. The surfactant can be cationic, anionic, non-ionic or amphoteric, and preferably selected from pharmaceutical and food quality such as sodium lauryl sulphate (SLS), dioctyl sodium sulfosuccinate (DSS), benzalkonium chloride, benzethonium chloride, cetrimide (trimethyltetradecylammonium bromide), fatty acid sugar esters, glyceryl monooleate, 10 polyoxyethylene sorbitan fatty acid esters, polyvinyl alcohol, dimethylpolysiloxan, sorbitan esters or lecithin. Its amount based on pullulan is preferably 0.01% to 3%.

15 The above mentioned and other features of the present invention will be better understood by reference to the following examples and the accompanying figure, in which:

Fig. 1 shows a graph listing dissolution test results of capsules according to the present invention filled with acetaminophen in deionized water at 37°C (USP XXIII dissolution).

20 The following examples and tests, not limitative, demonstrate the pullulan capsule production and properties. Furthermore, the examples demonstrate the hard capsule making, the surface gliding improvement, and the capsule filling improvement.

25 **Example 1:**

30 1.0 kg of pullulan (PI-20, Japanese Pharmaceutical Excipients grade) powder is mixed with 10 g of kappa-carrageenan. To 4.0 kg of deionised water under stirring at room temperature is added 20 g of potassium acetate (0.2% by weight in the solution), followed by addition of the above mixture (20% of pullulan and 0.2% of carrageenan in

the solution). The powder addition and stirring speeds should be very high in order to avoid the forming of lumps, which take a long time to be dissolved. The solution is heated up to 70°C under stirring to totally dissolve the carrageenan and pullulan. It is possible to dissolve the components directly at 70°C, but the tendency of pullulan to lump is much higher.

The pullulan solution thus prepared is defoamed under slow stirring and then poured into a dipping dish of a pilot machine of conventional hard gelatine capsule production equipment. While keeping the dipping pullulan solution at 60°C, natural transparent hard pullulan capsules of size 0 were produced according to the conventional process with the same dimensional specifications to the conventional hard gelatine capsules.

Example 2:

1.0 kg of pullulan (PI-20) powder is mixed with 6 g of gellan. To 4.0 kg of deionised water under stirring at room temperature is added 20 g of potassium acetate (0.4% by weight in the solution) and 2 g of ethylenediaminetetraacetic acid disodium salt (0.04% in the solution), followed by addition of the above mixture (20% of pullulan and 0.12% of gellan in the solution). Heat the solution up to 75°C under stirring to dissolve totally the gellan and pullulan.

The pullulan solution thus prepared is defoamed under slow stirring and then poured into a dipping dish of a pilot machine of conventional hard gelatine capsule production equipment. While keeping the dipping pullulan solution at 60°C, natural transparent hard capsules of size 0 were produced according to the conventional process with the

same dimensional specifications to the conventional hard gelatine capsules.

Disintegration test results:

Table 1: Disintegration test results (according to USP XXIII 1995-<701> Disintegration):

Capsule	Example 1	Example 2
Capsule emptied time	3.0 min	2.0 min
Total disintegration time	10.0 min	11.8 min

Dissolution test results of capsules filled with acetaminophen in deionised water at 37°C (USP XXIII dissolution) are represented in Fig. 1.

Example 3: Pullulan film gliding improvement

In 400g of demineralised water at room temperature were dispersed under stirring 0.05 g SLS (500ppm/pullulan), 1 g of kappa-carrageenan (0.2%), 1.25 g of potassium acetate (0.25%) and 100 g of pullulan (20%). The mixture is heated to 70°C under stirring for complete solubilisation and then the stirring is reduced for defoaming. The solution then is used to cast on glass plates of 4 mm thickness to form pullulan films of about 100 µm thickness after drying at room conditions.

The pullulan film gliding performance is evaluated by a test on a slanted plan, a method commonly used by gelatine producers. The method determines the smallest angle of inclination of glass plate to provoke the gliding of a film coated glass plate over another one with films face to

face. Consequently, the smaller the gliding angle, the better the film gliding performance.

Repeat the above example with surfactant contents listed in Table 2.

5 In Table 2, we gathered the gliding performance for different surfactants and quantity.

Table 2: Pullulan gliding performance (°)

Surfactant	No	500 ppm	1000 ppm	5000 ppm
SLS	29	9	5	6
Hydrolysed deoil lecithin		9	9	7
Polysorbate 20		12	12	
Polysorbate 80		10	9	
Sorbitan laurate		10	8	
Sorbitan oleate		9	7	

Example 4: Pullulan capsule production and performance

10 In 142 liters of demineralised water at room temperature were dispersed under stirring 20 g hydrolysed deoil lecithin (500ppm/pullulan), 363 g kappa-carrageenan (0.2%) and 40 kg pullulan (22%). The mixture is heated up to 70°C under stirring for total solubilisation. 455 g potassium acetate previously dissolved in some water was then added into the solution. A slurry made with 800 g TiO₂, 3 litres hot water and 3 liters so prepared pullulan solution by high shearing was added into the solution in order to produce white opaque capsules. After defoaming, the solution is finally stabled at 60°C.

15

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5 A second identical preparation was made. The two preparations were used to feed a conventional hard gelatine capsule production machine, white opaque hard pullulan capsules were then produced in the similar way to hard gelatine capsules.

As reference, transparent pullulan hard capsules without surfactant in the formulation were produced in the same way as above.

10 The improvement of hard pullulan capsules by the addition of surfactant is illustrated by the data gathered in Table 3, and was confirmed by a filling trial on a filling equipment KGF400.

Table 3

Capsule	Opening force of pre-lock capsule	Closing force
Capsule of example 2	12 g	6.0 N
Reference capsule	36 g	7.6 N

Claims

1. A film forming composition comprising pullulan and a setting system.
2. The film forming composition according to claim 1,
5 wherein the setting system further comprises cations.
3. The film forming composition according to claim 2,
wherein the cations are preferably selected from the group comprising K^+ , Na^+ , Li^+ , NH_4^+ , Ca^{++} and Mg^{++} .
4. The film forming compositions according to claims 1 or
10 2, wherein the setting system further comprises at least one sequestering agent.
5. The film forming composition according to claim 4,
15 wherein the at least one sequestering agent is selected from the group comprising ethylenediaminetetraacetic acid, acetic acid, boric acid, citric acid, edetic acid, gluconic acid, lactic acid, phosphoric acid, tartaric acid, or salts thereof, methaphosphates, dihydroxyethylglycine, lecithin or beta cyclodextrin.
6. The film forming composition according to any one of
20 claims 1 to 5, wherein the setting system comprises hydrocolloids.
7. The film forming composition according to claim 6,
wherein the hydrocolloids of the setting system are selected from polysaccharides.
- 25 8. The film forming composition according to one of claims 6 or 7, wherein the hydrocolloids of the setting system are selected from exocellular polysaccharides.

9. The film forming composition according to any one of the preceding claims, wherein the content of pullulan is 85% to 95% by weight, and wherein the content of water is 5% to 15% by weight.
- 5 10. The film forming composition according to any one of the preceding claims, wherein the content of the cations is less than 5% by weight, preferably 0.01% to 3% by weight, more preferably 0.5% to 2% by weight.
- 10 11. The film forming composition according to any one of the preceding claims, wherein the content of the sequestering agent is less than 5% by weight, preferably 0.01% to 3% by weight, more preferably 0.5% to 2% by weight.
- 15 12. The film forming composition according to any one of claims 6 to 11, wherein the hydrocolloids of the setting system are selected from the group comprising alginates, agar gum, guar gum, locust bean gum (carob), carrageenan, tara gum, gum arabic, ghatti gum, Khaya grandifolia gum, tragacanth gum, karaya gum, pectin, arabian (araban), xanthan, gellan, starch, Konjac mannan, galactomannan, or funoran.
- 20 13. The film forming composition according to any one of claims 6 to 11, wherein the hydrocolloids of the setting system are selected from the group comprising xanthan, acetan, gellan, welan, rhamsan, furcelleran, succinoglycan, scleroglycan, schizophyllan, tamarind gum, curdlan, or dextran.
- 25 14. The film forming composition according to any one of claims 6 to 11, wherein the hydrocolloids of the setting system are selected from gellan gum or kappa-carrageenan.
- 30

15. The film forming composition according to any one of claims 1 to 14, further containing plasticizers or/and flavoring agents.
- 5 16. The film forming composition according to claims 1 to 15, further containing colouring agents in a range from about 0% to 10% based upon the weight of the composition.
- 10 17. The film forming composition according to claim 16 wherein the colouring agent or mixture of colouring agents is selected from the group comprising azo-, quinophthalone-, triphenylmethane-, xanthene- or indigoid dyes, iron oxides or hydroxides, titanium dioxide or natural dyes.
- 15 18. The film forming composition according to claim 17 wherein the colouring agent or mixture of colouring agents is selected from the group comprising patent blue V, acid brilliant green BS, red 2G, azorubine, ponceau 4R, amaranth, D+C red 33, D+C red 22, D+C red 26, D+C red 28, D+C yellow 10, yellow 2 G, FD+C yellow 5, FD+C yellow 6, FD+C red 3, FD+C red 40, FD+C blue 1, FD+C blue 2, FD+C green 3, or brilliant black BN.
- 20 19. The film forming composition according to claim 16 wherein the colouring agent or mixture of colouring agents is selected from the group comprising carbon black, iron oxide black, iron oxide red, iron oxide yellow, titanium dioxide, riboflavin, carotenes, anthocyanines, turmeric, cochineal extract, clorophyllin, canthaxanthin, caramel, or betanin.
- 25 20. The film forming composition according to any one of the preceding claims, wherein the composition comprises one or more surfactants.
- 30

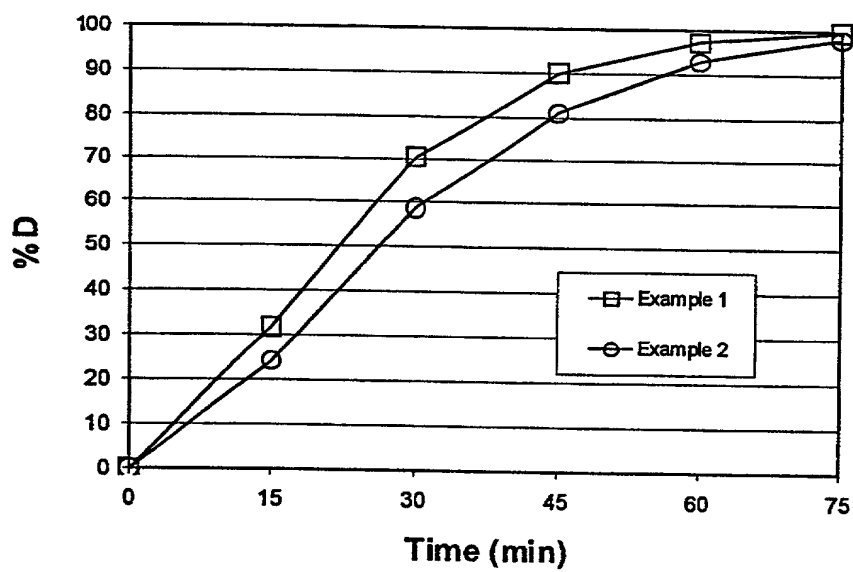
21. The film forming composition according to claim 20, wherein the surfactant is selected from the group comprising sodium lauryl sulphate (SLS), dioctyl sodium sulfosuccinate (DSS), benzalkonium chloride, benzethonium chloride, cetrimide (trimethyl-tetradecylammonium bromide), fatty acid sugar esters, glyceryl monooleate, polyoxyethylene sorbitan fatty acid esters, polyvinyl alcohol, dimethylpolysiloxan, sorbitan esters or lecithin.
22. The film forming composition according to any one of claims 20 or 21, wherein the content of surfactant is 0.01 to 3% by weight related to the amount of pullulan.
23. Container for unit dosage forms for agrochemicals, seeds, herbs, foodstuffs, dyestuffs, pharmaceuticals, or flavouring agents produced from the film forming composition according to any one of claims 1 to 22.
24. Container according to claim 23 which is a capsule, preferably a pharmaceutical capsule.
25. Container according to claim 23 or 24, wherein the container comprises a coating.
26. Container according to claim 25, wherein the coating is selected from the group comprising cellulose acetate phthalate, polyvinyl acetate phthalate, methacrylic acid gelatines, hypromellose phthalate, hydroxypropylmethyl cellulose phthalate hydroxyalkyl methyl cellulose phthalates, hydroxypropyl methylcellulose acetate succinate or mixtures thereof.
27. Container according to claim 25, wherein the coating is a surfactant.

28. Container according to claim 27, wherein the coating is in the range of 0.5 to 100 microns.
29. Container according to claims 27 or 28, wherein the surfactant is selected from the group comprising sodium lauryl sulphate (SLS), dioctyl sodium sulfosuccinate (DSS), benzalkonium chloride, benzethonium chloride, cetrimide (trimethyltetradecylammonium bromide), fatty acid sugar esters, glyceryl monooleate, polyoxyethylene sorbitan fatty acid esters, polyvinyl alcohol, dimethylpolysiloxan, sorbitan esters or lecithin.
30. A caplet encapsulated in a film forming composition according to one of claims 1 to 21.
31. Container comprising two halves forming a capsule, wherein the the container is sealed with one or more layers of the composition according to claims 1 to 22.
32. Container according to claim 31 wherein the capsule halves are sealed by a liquid fusion process.
33. Container according to claim 30 or 32, wherein the capsule is a container according to one of claims 23 to 25.
34. Container according to any one of claims 23 to 33 wherein a product filled in the container is releasable at a low temperature such as at room temperature.
35. An aqueous solution of the film forming composition according to any one of claims 1 to 22 for the manufacturing of capsules.

36. The aqueous solutions according to claim 35, comprising pullulan in an amount of 10 to 60%, preferably 15 to 40% by weight of the aqueous solution.
37. The aqueous solution according to claim 35 or 36, comprising setting agent in an amount of 0.01 to 5%, preferably 0.03 to 1.0% by weight of the aqueous solution.
38. The aqueous solution according to any one of claims 35 to 37, further comprising cations in an amount less than 3%, preferably 0.01 to 1% by weight of the aqueous solution.
39. The aqueous solution according to any one of claims 35 to 38, further comprising sequestering agents in an amount less than 3%, preferably 0.01 to 1% by weight of the aqueous solution.
40. Use of the aqueous solution according to any one of claims 35 to 39 for the manufacturing of hard capsules in a dip moulding process.
41. Manufacturing of hard capsules from the aqueous pullulan solution according to any one of claims 35 to 39 in a dip moulding process with conventional hard gelatine capsules process parameters and equipment.

1/1

FIG. 1



**COMBINED DECLARATION FOR PATENT
APPLICATION AND POWER OF ATTORNEY**
(Includes Reference to PCT International Applications)

Attorney's Docket Number
6517-11-EJF

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PULLULAN FILM COMPOSITIONS

the specification of which (check only one item below):

- ☐ is attached hereto.
- ☐ was filed as United States application
Serial No _____
on _____
and was amended
on _____
(if applicable).
- ☒ was filed as PCT international application
Number PCT/EP00/06843
on July 18, 2000
and was amended
on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 including for continuation-in-part applications material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under United States Code 37 CFR § 119(a-d) or (f) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a), or of any PCT international application which designated at least one country other than the United States of America listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or any PCT international application having a filing date before that of the application of which priority is claimed: **Prior Foreign Application(s)**

APPLICATION NUMBER	COUNTRY (if PCT, indicate "PCT")	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
PCT/EP00/06843	PCT	July 18, 2000	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no
			<input type="checkbox"/> yes <input type="checkbox"/> no

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

APPLICATION NUMBER	DATE OF FILING

Combined Declaration For Patent Application and Power of Attorney (Continued)
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Attorney Docket Number
6517-11-EJF

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information which is material to patentability as defined in 37 CFR, § 1.56(a) which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS		STATUS (Check one)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.				
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)		

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Combined Declaration For Patent Application and Power of Attorney (Continued)
(Includes Reference to PCT International Applications)

Attorney Docket Number

6517-11-EJF

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information which is material to patentability as defined in 37 CFR, §1.56(a) which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS

STATUS (Check one)

U.S. APPLICATION NUMBER

U.S. FILING DATE

PATENTED

PENDING

ABANDONED

PCT APPLICATIONS DESIGNATING THE U.S.

PCT APPLICATION NO.

PCT FILING DATE

U.S. SERIAL NUMBERS
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.